

OCCUPATIONAL GROUP: Business Administration

CLASS FAMILY: Licensing

CLASS FAMILY DESCRIPTION:

This family of positions includes those whose purpose is to perform activities related to the review of applications for the suitability of issuance or renewal of licenses, certificates, and/or permits through the interpretation and application of federal and state laws, rules, regulations, policies, and procedures. They process applications and fees, keep applicants in good standing, and may create, schedule and review exams. They keep accurate records, and assist and correspond with applicants, ensuring compliance with all applicable laws and regulations.

CLASS TITLE: Licensing Support Specialist 1

DISTINGUISHING CHARACTERISTICS:

These positions perform at the full-performance level in the review of applications, some positions administer licensing exams. Some positions may serve as lead workers. Perform related work as required.

EXAMPLES OF WORK: *(Any specific position in this class may not include all of the duties listed; nor do the examples listed cover all of the duties which may be assigned.)*

- Receives, audits, and analyzes occupational permit applications; enters all required information and documentation into databases; maintains electronic and paper files; generates necessary reports and spreadsheets.
- Schedules and administers tests to the public; provides test instructions; grades tests.
- Interprets and answers inquiries regarding laws, rules and regulations.
- Reviews and processes the invoicing and distribution of licensing fees; drafts electronic records and printing transmittals.
- Reviews the applications in accordance with the guidelines; reviews the motor carriers' safety history to determine the current level of safety fitness involving the use of various state and federal databases.
- Responds to public and business inquiries concerning the licensing process, requests for assistance and information, and the compliance to regulations governing the issuance of licenses.
- Audits, processes and submits the appropriate documentation for criminal background checks and Live Scan Fingerprint processing; drafts the appropriate correspondence; finalizes reporting of Criminal Investigation Background checks maintaining strict confidentiality.
- Responsible for the license renewal process including relicensing all occupational permit holders and performing the business license renewal with high priority during renewal

periods; makes changes to customer active status, personal information, and job positions; continues to research and resolve any issues related to permits as necessary.

KNOWLEDGE, SKILLS AND ABILITIES:

- Knowledge of licensing laws and ability to interpret licensing rules & regulations.
- Knowledge of computer technology and business applications such as word processing, spreadsheets and file maintenance.
- Knowledge of modern office equipment office procedures.
- Ability to analyze, audit and process license applications; ability to resolve technical and regulatory issues related to all phases of applicant licensing.
- Ability to use databases and spreadsheets to compile, manipulate and report data.

MINIMUM QUALIFICATIONS:

Education: Graduation from High School or Equivalent.

Experience: One to two years of full-time or equivalent part-time verifiable experience related to clerical work.

Education and/or Experience Substitution: Coursework from a regionally accredited college or university or related business or vocational school may substitute for the required experience on a year for year basis.

Certifications, Licenses, Registrations: None.

CLASS TITLE: Licensing Support Specialist 2

DISTINGUISHING CHARACTERISTICS:

These positions perform at the advanced level in the review of applications by performing more in-depth reviews. Some positions may have lead worker or supervisory responsibilities. Perform related work as required.

EXAMPLES OF WORK: *(Any specific position in this class may not include all of the duties listed; nor do the examples listed cover all of the duties which may be assigned.)*

- Reviews, determines eligibility, and approves license applications in accordance with laws and regulations; resolves problems; generates necessary reports and spreadsheets.
- Provides training and orientation for new employees; assigns and reviews work of others; may supervise.
- Reviews and processes the invoicing and distribution of licensing fees; drafts electronic records and printing transmittals.
- Reviews the applications in accordance with all applicable guidelines; reviews the motor carriers' safety history to determine the current level of safety fitness involving the use of various state and federal databases.

- Responds to public and business inquiries concerning the licensing process, requests for assistance and information, and the compliance to regulations governing the issuance of licenses.
- Coordinates field staff on conducting retailer site surveys.
- Responsible for the license renewal process including relicensing all occupational permit holders and performing the business license renewal with high priority during renewal periods; makes changes to customer active status, personal information, and job positions; continues to research and resolve any issues related to permits as necessary.

KNOWLEDGE, SKILLS AND ABILITIES:

- Knowledge of licensing laws and ability to interpret licensing rules & regulations.
- Knowledge of computer technology and business applications such as word processing, spreadsheets and file maintenance.
- Knowledge of modern office equipment office procedures.
- Ability to analyze, audit and process license applications; ability to resolve technical and regulatory issues related to all phases of applicant licensing.
- Ability to use databases and spreadsheets to compile, manipulate and report data.
- Ability to lead or supervise subordinates.

MINIMUM QUALIFICATIONS:

Education: Graduation from High School or Equivalent.

Experience: Three to four years of full-time or equivalent part-time verifiable experience related to clerical work.

Education and/or Experience Substitution: Coursework from a regionally accredited college or university or related business or vocational school may substitute for the required experience on a year for year basis.

Certifications, Licenses, Registrations: None.

CLASS TITLE: Licensing Associate

DISTINGUISHING CHARACTERISTICS:

These positions perform analytical and review work in the examination and investigation of licensing applications for non-depository institutions to determine compliance with West Virginia financial institutions law and regulation and suitability for licensing. Perform related work as required.

EXAMPLES OF WORK: *(Any specific position in this class may not include all of the duties listed; nor do the examples listed cover all of the duties which may be assigned.)*

- Reviews applications submitted through licensing system to ensure compliance with state and federal requirements; reviews change of control and/or change of ownership, mergers and acquisitions for existing licensees; reviews financial statements and other financial

documentation submitted by applicants and licensees for compliance with statutory equity levels as well as monitoring for unusual aberrations; maintains a working knowledge of the laws, rules and regulations for non-depository institutions;

- Prepares accurate and timely recommendations for license application acceptance and approval as well as denials and other administrative actions.
- Performs background credit and criminal investigations for applicants involved with non-depository license applications.
- Composes and prepares correspondence to request information from applicants used to determine final licensing decisions and/or recommendations for enforcement or administrative action; receives phone calls from applicants and provides necessary guidance to assist the applicant in their licensing requests; establishes and maintains working relations with licensees and the general public.
- Reviews and analyzes non-depository license renewals; determines renewal or denial for new license.

KNOWLEDGE, SKILLS AND ABILITIES:

- Knowledge of the theory, principles, and practices of the financial services industry.
- Knowledge of the form and content of licensing statutes and forms.
- Knowledge of the laws, rules, and regulations governing non-depository financial institutions with regard to mortgage, regulated consumer lenders, and currency transmission licensing requirements.
- Ability to make timely and complete analyses of pending applications.
- Ability to evaluate, and determine compliance with various licensing statutes governing financial institutions within the state.
- Ability to prepare accurate conclusions and recommendations regarding licensing matters.
- Ability to communicate effectively both orally and in writing.
- Ability to establish and maintain effective working relations with financial services companies', their officials and the general public.
- Ability to effectively use computer software.

MINIMUM QUALIFICATIONS:

Education: Graduation from High School or Equivalent.

Experience: Two to four years of full-time or equivalent part-time verifiable experience related to accounting, banking or finance.

Education and/or Experience Substitution: Coursework from a regionally accredited college or university or related business or vocational school may substitute for the required experience on a year for year basis.

Certifications, Licenses, Registrations: None.

CLASS TITLE: Licensing Specialist

DISTINGUISHING CHARACTERISTICS:

These positions perform the most complex work in the review of applications for licenses, which involves a comprehensive review of financial records of individuals and corporations. They facilitate problem resolution and require a broader range of knowledge in regulations, laws, policies, and procedures governing the program or technical area. They exercise considerable latitude in varying methods and procedures to achieve desired results. These positions may supervise subordinate employees. Perform related work as required.

EXAMPLES OF WORK: *(Any specific position in this class may not include all of the duties listed; nor do the examples listed cover all of the duties which may be assigned.)*

- Conducts comprehensive review of all financial records required to be submitted with initial and renewal lottery license and occupational applications for individual and business level applicants; makes licensing decisions with pertinent financial data associated with the licensing process; enters, updates, and maintains financial information with the related licensing databases on an individual and business level for applicant's initial, renewal, or change requests; oversees the license renewal process; reviews multi-jurisdictional applications for supervisory level license.
- Drafts and sends financial related correspondences to both individual and corporate licensees defining corrective action as required; monitors and guides licensees through the corrective actions process as well as receives and processes submitted corrections in the process of migrating licensees into an approved license status.
- Develops corrective actions for deficient applications; oversees completion of corrective actions by licensee or occupational permit holder; assists applicants in resolving financial information deficiencies in the applications; coordinates corrective action process with legal and security divisions.
- Provides in-depth knowledge of licensing requirements and information regarding specific licenses that are required for a particular line of authority; responds to licensing inquiries by researching the WV Code, WV Rules, Producer Licensing Model Act (PLMA) and provides clarification and interpretation of licensing procedures and rules; advises on the requirements to obtain a resident and nonresident license.
- Advises resident producers of continuing education compliance, rules (new and existing), procedures and the requirements of maintaining a license; maintains through Prometric continuing education compliance as well as verifying compliance and suspending licenses if compliance is not met; provides support and approval to continuing education providers on submission of letters of compliance and distribution of affidavits.
- Manages and advises personnel on licensing procedures and changes to the licensing process, laws, and administrative procedures; maintains constant communication between subordinates to encourage organization and workflow throughout the section.
- Works with the National Insurance Producer Registry (NIPR) on WV's licensing business rules for residents, nonresidents, company appointments and business entities; advises NIPR of required changes and updates for an efficient flow of the licensing process.

- Drafts licensing reports requested by legislature, industry representatives, insurers and consumers; prepares regular and special reports on financial reviews of license applications and related information.
- Creates licensing forms and procedures for resident and nonresident producers for each line of authority as well as the renewal process, late renewal process and continuing education process; tracks and maintains updates on reports sent to other divisions.

KNOWLEDGE, SKILLS AND ABILITIES:

- Knowledge of West Virginia laws, regulations and procedures.
- Knowledge of the license application process and the financial information requirements required by law and regulation.
- Knowledge of income and business tax forms and terminology.
- Knowledge of computer technology and business software applications.
- Ability to correctly review and evaluate the financial information required for license applications.
- Ability to develop and oversee corrective action plans to address financial information deficiencies in license applicants.
- Ability to develop and present educational training programs on licensing process.
- Ability to interact effectively with various professional contacts.
- Ability to testify in administrative appeal hearing on license application matters.
- Ability to use databases and spreadsheets to compile, manipulate and report data.
- Ability to communicate effectively, orally and in writing.

MINIMUM QUALIFICATIONS:

Education: Bachelor's degree from a regionally accredited college or university.

Experience: Two to four years of full-time or equivalent part-time verifiable experience related to accounting, banking or finance.

Education and/or Experience Substitution: Additional full-time or equivalent part-time verifiable experience related to accounting, banking or finance may substitute for the required education on a year for year basis.

Certifications, Licenses, Registrations: None.

CLASS TITLE: Licensing Manager

DISTINGUISHING CHARACTERISTICS:

These positions oversee a licensing function within an agency including planning, organizing, and managing all licensing activities and staff. Perform related work as required.

EXAMPLES OF WORK: *(Any specific position in this class may not include all of the duties listed; nor do the examples listed cover all of the duties which may be assigned.)*

- Plans, organizes, coordinates and evaluates the work of subordinates; ensures licenses are analyzed, reviewed, processed and granted following the guidelines set forth; supervises the daily work of professional and technical staff; directs staff work; assigns and reviews work product of professional, technical and clerical staff; evaluates the operation of the unit.
- Directs the development and implementation of new procedures and forms in order to meet the needs and expectations of licensing customers; interprets statutes, regulations and policies to unit staff, executive and management staff; establish timeliness, forms, and procedures to complete the renewal process in a timely manner and monitors all procedures and coordinates completion of each renewal process.
- Administers the development of unit policies, procedures, guidelines and forms to ensure an effective and consistent licensing process; assists potential lottery licensees and current licensees with the licensing process to be more efficient.
- May testify at administrative appeal or civil court hearings on licensing or related appeals.
- Oversees the maintenance and security of licensing data and other records; prepares regular and special reports on unit activities and the status of licenses and occupational permits.

KNOWLEDGE, SKILLS AND ABILITIES:

- Knowledge of statutes, regulations, policies and procedures related to licenses and occupational permits; knowledge of the licensing regulations.
- Knowledge of the principles and practices of management.
- Knowledge of the data systems and forms used in the licensing process.
- Ability to plan, organize, coordinate, and evaluate the functions and activities of the unit.
- Ability to supervise the work of professional, technical and clerical employees.
- Ability to evaluate complex licensing problems and to devise and negotiate solutions.
- Ability to establish effective working relationships with various professional contacts and the general public.
- Ability to testify in administrative appeal and civil court hearings.
- Ability to communicate effectively, orally and in writing.

MINIMUM QUALIFICATIONS:

Education: Bachelor's degree from a regionally accredited college or university.

Experience: Five to seven years of full-time or equivalent part-time verifiable experience related to accounting or finance, two years of which must have been in a supervisory or managerial capacity.

Education and/or Experience Substitution: Additional full-time or equivalent part-time verifiable experience related to accounting or finance, may substitute for the required education on a year for year basis. Graduate level coursework from a regionally accredited college or university may substitute for the non-supervisory required experience on a year for year basis.

Certifications, Licenses, Registrations: None.